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**FAX TRANSMISSION SHEET**

**March 4, 2003**

**Our Ref** : EHAR0010  
**Appl. No.** : 09/856,402  
**Filing Date** : May 21, 2001  
**Pages** : Cover + 10

**BY FACSIMILE ONLY**

**FAX** : 703-308-6459  
**ATTN** : **PCT Legal Office**  
Attorney-Advisor: **Mr. Anthony Smith**  
United States Patent and Trademark Office  
**FROM** : Jiawei Huang, Reg. No.: 43,330  
**MESSAGE** : Enclosed herewith are:  
[x] Petition under 37 CFR 1.182  
[x] A copy of the Decision on Petition dated 12/10/2002.  
[x] Statement of Teruyuki Nakano.  
[x] Statement of Kunihiro Shiromura.  
[x] PCT Communication Form PCT/IB/345  
[x] A copy of the front page of international application WO 01/028739 A1.

Sir:

I hereby certify that this correspondence is being facsimile transmitted to the Patent and Trademark Office on **March 4, 2003** at the above indicated fax number.

Sign by:

  
Michelle Chang

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**Note:** This facsimile transmission is intended only for the use of the individual or entity to which it is addressed, and may contain information that is privileged, confidential and exempt from disclosure under applicable law. If the reader is not the intended recipient, or the employee or agent responsible for delivering the message to the intended recipient, you are hereby notified that any dissemination, distribution or copying of this communication is strictly prohibited. If you have received this transmission in error, please kindly notify us immediately, and return the original message to us at the above address. We greatly appreciate your cooperation.

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Docket No.: EHAR0010  
page 1

**IN THE UNITED STATE PATENT AND TRADEMARK OFFICE**

In re application of : TERUYUKI NAKANO et al.  
Application No. : 09/856,402  
Filed : May 21, 2001  
For : POLISHING MACHINE FOR  
PERIPHERAL EDGE OF  
SEMICONDUCTOR

**PETITION UNDER 37 C.F.R. §1.182**

**ATTN.: Office of the Petition**  
ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

Sir:

Applicant requests to correct the first inventor's name of the above-identified application from "Yoshiyuki Nakano" to "Teruyuki Nakano". This mistake was made by mistyping when preparing the documents for the corresponding international application and was an inadvertent error without deceptive intent.

Enclosed herewith are a statement from Mr. Teruyuki Nakano and a statement from Mr. Kunihiko Shiromura, setting forth the specific circumstances as to how and when the error was made and discovered.

The Commissioner is authorized to charge the petition fee (\$130) and, if required, time extension fee (\$725 for four months of time extension) to account No. 50-0710 (Order No. EHAR0010). A duplicate copy of this sheet is enclosed.

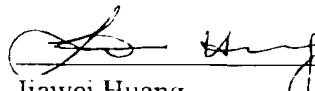
Enclosed also are copies of the revised front page of WO 01/028739 A1 and Form PCT/IB/345, which indicates the correction of the inventor's name.

*If the present petition and any of the above-identified payments become unnecessary in view of the revised WO 01/028739 and Form PCT/IB/345, please disregard the offer for payments.*

Date: 3/4/2003

Please send future Correspondence to:  
4 Venture, Suite 250  
Irvine, California 92618  
Tel.: (949) 660-0761

Respectfully submitted,

  
Jiawei Huang  
Registration No. 43,330



10 DEC 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

Jiawei Huang  
J.C. Patents  
4 Venture, Suite 250  
Irvine, CA 92618

In re Application of :  
NAKANO et al. :  
U.S. Application No. 09/856,402 :  
PCT No.: PCT/JP00/07229 : DECISION ON PETITION  
Int. Filing Date: 18 October 2000 : UNDER 37 CFR 1.47(a)  
Priority Date: 18 October 1999 :  
Attorney Docket No.: EHAR0010 :  
For: POLISHING MACHINE FOR :  
PERIPHERAL EDGE OF :  
SEMICONDUCTOR :

This is a decision on applicants' "Renewed Petition Under 37 CFR 1.47(a)" filed 24 September 2002.

### BACKGROUND

On 18 October 2000, applicants filed international application PCT/JP00/07229 which claimed a priority date of 18 October 1999 and designated the United States. The international application listed Yoshiyuki Nakano; Yasuhiro Kosawa; and Hitoshi Tambo as applicant/inventors. A Demand for international preliminary examination was not filed prior to the expiration of nineteen months from the international filing date. Accordingly, the twenty-month period for paying the basic national fee in the United States was midnight, 18 June 2001.

On 21 May 2001, applicants filed a transmittal letter for entry into the national stage in the United States, which accompanied by, inter alia: the requisite basic national fee as required by 35 U.S.C. 371(c)(1); the international application; and a preliminary amendment.

On 21 June 2001, the United States Designated/Elected Office mailed a Notification of Missing Requirements under 35 U.S.C. 371 (Form PCT/DO/EO/905) indicating that an oath or declaration in compliance with 37 CFR 1.497(a) and (b) must be filed. The notification set a two-month time limit in which to respond.

Application No.: 09/856,402

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On 12 October 2001, applicants filed petition under 37 CFR 1.47(a). The petition was dismissed in a decision dated 05 February 2002.

On 07 June 2002, applicants filed renewed petition under 37 CFR 1.47(a). The petition was dismissed in decision dated 04 September 2002 because the declaration was defective pursuant to 37 CFR 1.497.

On 24 September 2002, applicants filed the present renewed petition which was accompanied by untranslated Japanese document.

### DISCUSSION

The communication entitled "Renewed Petition under 37 CFR 1.47(a) is not a proper response to the Decision mailed 04 September 2002. Applicant states in the communication that, "[a]pplicant would like to clarify that Teruyuki Nakano is the correct name of the first inventor. A petition to correct inventor's name Yoshiyuki Nakano to Teruyuki Nakano was filed with (the) Japan Patent Office on February 8, 2001 and has been processed by the JPO . . . Applicant believes that this document should have been sent to the United States Patent and Trademark by (the) International Bureau." There is no record of a Notification of the Recording of a Change (Form PCT/IB/306) from the International Bureau located in the application file. Therefore, as stated in the Decision mailed 04 September 2002, since the name change is clearly more than a mere typographical error, transliteration, or a phonetic misspelling of applicant's given name a proper petition under 37 CFR 1.182 is required in order to resolve the matter. Such a petition must be accompanied by the requisite petition fee of \$130 as well as verified statements from the inventor and any other persons having firsthand knowledge of the error. These statements must set forth the specific circumstances as to how and when the error was made and discovered, and must also set forth that the mistake was an inadvertent error without deceptive intent.

Because the failure to file the proper response does not appear to have been the result of an inadvertent omission (37 CFR 1.135(a)), applicant will not be accorded a new time period to correct the deficiencies in the response.

### CONCLUSION

A proper response, as discussed above, must be filed within the period for response set forth in the Decision mailed 04 September 2002 which is extendable up to a maximum of five months. As such, using the maximum period of extension available, applicant has until 04 April 2003 to file a proper response or the application will be held abandoned as to the United States.

Application No.: 09/856,402

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Any further correspondence with respect to this matter should be directed to the Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231, with the contents of the letter directed to the attention of the PCT Legal Office.



Richard Cole  
PCT Legal Examiner  
PCT Legal Office



Anthony Smith  
Attorney-Advisor  
PCT Legal Office  
Tel: 703-308-6314  
Facsimile: 703-308-6459

**PATENT**

Docket No. EILAR0010

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Nakano et al. )  
Application No.: 09/856,402 )  
Filed: May 21, 2001 )  
For: POLISHING MACHINE FOR )  
PERIPHERAL EDGE OF )  
SEMICONDUCTOR )  
PCT No.: PCT/JP00/07229 )  
Int. Filing Date: October 18, 2000 )

**STATEMENT OF TERUYUKI NAKANO**

I, Teruyuki Nakano, hereby state that:

1. I am the first inventor of the above-identified application.
2. I am aware that the above-identified application names as joint inventors: Teruyuki Nakano; Yasuhiro Kozawa; and Hitoshi Tambo.
3. I am aware that Mr. Kunihiro Shiromura first became aware that my name was misspelled as "Yoshiyuki Nakano" in numerous documents of the corresponding international application while checking these documents on February of 2001.
4. I am aware that a petition to correct my name from "Yoshiyuki Nakano" to "Teruyuki Nakano" was filed with the Japan Patent Office (JPO) on February 8, 2001 and has been processed by JPO, and that a revised International Publication of the above-identified application with the corrected first inventor's name will issue on February 27, 2003.
5. I hereby state that my correct English name is Teruyuki Nakano.
6. I hereby state that the above error was made by mistyping and was an inadvertent error without deceptive intent.
7. I declare that all the statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both,

## PATENT

Docket No. EHAR0010

under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application and any patent issued thereon.

Dated: 16. February, 2003  
16. July, 2003

By: T. Nakano

Teruyuki Nakano

**PATENT**

Docket No. EHAR0010

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Nakano et al. )  
Application No.: 09/856,402 )  
Filed: May 21, 2001 )  
For: POLISHING MACHINE FOR )  
PERIPHERAL EDGE OF )  
SEMICONDUCTOR )  
PCT No.: PCT/JP00/07229 )  
Int. Filing Date: October 18, 2000 )

**STATEMENT OF KUNHIKO SHIROMURA**

I, Kunihiko Shiromura, hereby state that:

1. I am one of the Japanese patent attorneys representing the inventors in prosecution of the above-identified application before the Japan Patent Office.
2. I am aware that the above-identified application names as joint inventors: Teruyuki Nakano; Yasuhiro Kozawa; and Hitoshi Tambo.
3. On February of 2001, I first became aware that the first inventor's name (Teruyuki Nakano) was misspelled as "Yoshiyuki Nakano" in numerous documents of the corresponding international application.
4. I am aware that a petition to correct the inventor's name from "Yoshiyuki Nakano" to "Teruyuki Nakano" was filed with the Japan Patent Office (JPO) on February 8, 2001 and has been processed by JPO, and that a revised International Publication of the above-identified application with the corrected first inventor's name will issue on February 27, 2003.
5. I hereby state that the above error was made by mistyping when preparing the documents for the corresponding international application and was an inadvertent error without deceptive intent.
6. I declare that all the statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful

**PATENT**

Docket No. EHAR0010

false statements may jeopardize the validity of the application and any patent issued thereon.

Dated: 17. February, 2003

By: Kunihiko Shiromura  
Kunihiko Shiromura

## PATENT COOPERATION TREATY

PCT

COMMUNICATION IN CASES FOR WHICH  
NO OTHER FORM IS APPLICABLE

From the INTERNATIONAL BUREAU

To:

EHARA, Syogo  
Ehara Patent Office  
15-26, Edobori 1-chome, Nishi-ku  
Osaka-shi, Osaka 550-0002  
JAPON

Date of mailing (day/month/year) 20 February 2003 (20.02.03)	
Applicant's or agent's file reference FP00-034	REPLY DUE see paragraph 1 below
International application No. PCT/JP00/07229	International filing date (day/month/year) 18 October 2000 (18.10.00)
Applicant KABUSHIKI KAISHA ISHIIHYOKI	

1. ☐ REPLY DUE within \_\_\_\_\_ months/days from the above date of mailing
- ☐ NO REPLY DUE, however, see below
- ☒ IMPORTANT COMMUNICATION
- ☐ INFORMATION ONLY

## 2. COMMUNICATION:

The International Bureau will re-issue the front page of pamphlet on 27<sup>th</sup> of February 2003 (27.02.03) due to the error of the Applicant and Inventor's name.

Items in the front page to be corrected are as follows,

Under (72, 75) replace "NAKANO, Yoshiyuki" by "NAKANO, Teruyuki" and "KOSAWA, Yasuhiro by "  
KOZAWA, Yasuhiro"

The items will be reflected in re-publication for the front page of pamphlet.

We are sorry for any inconvenience,

Masashi HONDA  
Coordinator of Processing Team 08

訂正版

(19) 世界知的所有権機関  
国際事務局



(43) 国際公開日  
2001 年 4 月 26 日 (26.04.2001)

PCT

(10) 国際公開番号  
WO 01/028739 A1

(51) 国際特許分類: B24B 9/00, 31/00, 37/00, H01L 21/304

(21) 国際出願番号: PCT/JP00/07229

(12) 国際出願日: 2000 年 10 月 18 日 (18.10.2000)

(25) 国際出願の言語: 日本語

(26) 国際公開の言語: 日本語

(30) 優先権データ:  
特願平 11-295847  
1999 年 10 月 18 日 (18.10.1999) JP

(71) 出願人 (米国を除く全ての指定国について): 株式会社 石井表記 (KABUSHIKI KAISHA ISHIIHYOKI)

[JP/JP]: 〒720-2113 広島県深安郡神辺町旭丘5番地 Hiroshima (JP).

(72) 発明者; および  
(75) 発明者/出願人 (米国についてのみ): 中野輝幸 (NAKANO, Teruyuki) [JP/JP]. 小澤康博 (KOZAWA, Yasuhiro) [JP/JP]. 丹保仁志 (TAMBO, Hitoshi) [JP/JP]; 〒720-2113 広島県深安郡神辺町旭丘5番地 株式会社 石井表記内 Hiroshima (JP).

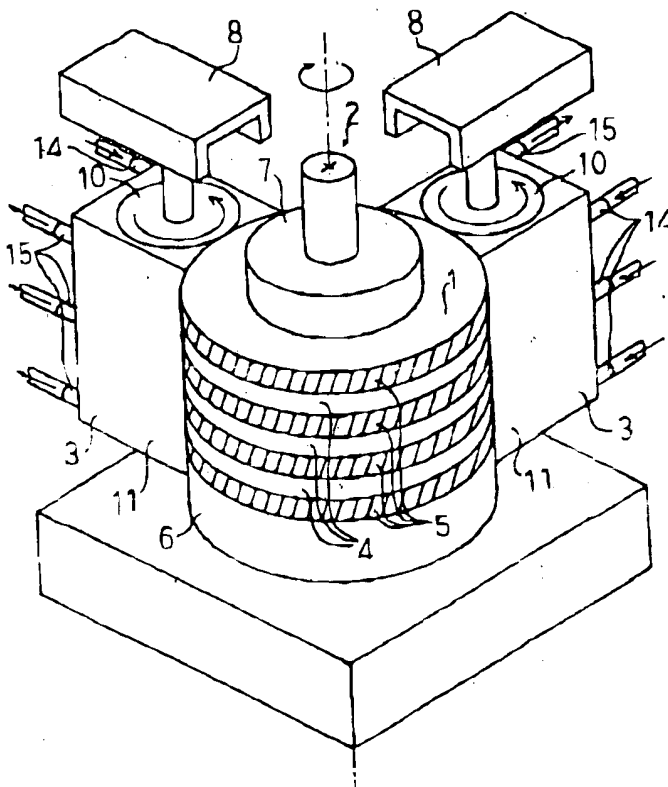
(74) 代理人: 江原省吾, 外 (EHARA, Syogo et al.); 〒550-0002 大阪府大阪市西区江戸堀1丁目15番26号 江原特許事務所 Osaka (JP).

(81) 指定国 (国内): AE, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, EE, ES,

[続葉有]

(54) Title: DEVICE FOR POLISHING OUTER PERIPHERAL EDGE OF SEMICONDUCTOR WAFER

(54) 発明の名称: 半導体ウエハの外周エッジ研磨装置



(57) Abstract: A device for polishing the outer peripheral edge of a semiconductor wafer, comprising a rotating mechanism (2) for mounting a laminate (1) of semiconductor wafers (4) thereon and rotating them, and a polishing mechanism (3) disposed movably in the radial direction of the rotating mechanism (2), for polishing non-contactingly the outer peripheral edges of the rotating semiconductor wafers (4). An abrasive liquid is introduced into a fine gap (5) formed between the rotating column (10) of the polishing mechanism (3) and the laminate (1) of the wafers (4). The outer peripheral edges of the wafers (4) are polished non-contactingly by abrasive grains contained in the abrasive liquid.

[続葉有]

WO 01/028739 A1

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\*\*\* RX REPORT \*\*\*  
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RECEPTION OK

TX/RX NO	5174
CONNECTION TEL	19496600809
CONNECTION ID	
START TIME	03/04(TU)18:25
USAGE TIME	04'14"
PGS.	11
RESULT	OK